

JISC
Northavon House
Cold harbour Lane
Bristol
BS161QD

21 June 2006

Dear Sir or Madam

JISC Capital Planning Programme Bid - Call 11 Repository Start-Up projects

The University wishes to submit a bid to the JISC under JISC Circular 01/07: Repositories and Preservation Programme to investigate the feasibility of developing an institutional repository for the University of Bradford. The request is made under Call 11 Repository start-up projects.

The proposal for the development of a Bradford repository addresses this challenge. It also supports the strategic aims of the university, the Corporate Plan, the E-Strategy commitment to develop skills and communication in an information age and the Development Plan of LSS, particularly the Library.

Background

The University currently has a number of digital repositories within the university but it does not have an Institutional Repository. The principal examples are E-pository, which contains some learning objects (material from the library's Special Collections) as well as being an archive for administration, and Virtual Scholars, the library's repository of postgraduate dissertations which uses the open source software D Space. There may also be electronic collections of scholarly output supported within departments.

Perceived advantages of an institutional repository

The IR will be a showcase for the intellectual output of the University, including:

- Electronic copies of articles and other academic papers of University staff and researchers
- A local deposit for learning objects
- M Phil and doctoral theses awarded degrees by the University
- Existing electronic deposits, e.g. examination papers, postgraduate dissertations and academic archives

Scope of the bid

The aims of the project are to:

- Identify and review the existing collections of materials that might feature in an Institutional Repository
- Investigate the needs of academic Schools which an Institutional Repository could meet and
- identify any cultural issues that may act as a barrier
- Establish the architecture of the repository and implement the technical solutions using DSpace.
- Establish procedures for deposit with academic Schools, to include a deposit agreement. . Establish a modus operandi with publishers with regard to copyright issues, utilising work done elsewhere by Sherpa and Romeo
- Establish and implement procedures for harvesting material already available
- Set up a trial with a selected School
- Investigate integration with existing University activities, e.g. Portal Project, Content Management



- Produce documentation and training
- Devise a project exit strategy

Management of the project

The project will be managed according to the Bradford Method. The proposed Board would be:

Project Sponsor: PM Ketley, University Librarian and Principal Contact
Project Manager: Polly Dawes, Systems Librarian
Senior Supplier: Satu Nieminen, Electronic Resources Librarian
Senior Customer: [a school rep]
Senior Customer: Anne Costigan, Senior Subject Librarian

Risks

The main risks identified are:

- Dependence on open source software
- Key project staff may leave
- Non-co-operation from Schools

Project timetable

October 2007 - September 2008


Costs

The project budget is £60,274, of which the University seeks a grant of £30K from the JISC. The University of Bradford - Learner Support Services - will contribute the remainder.

Yours sincerely



Professor Rae Earnshaw
Pro-Vice-Chancellor (Strategic Systems Development and e-Strategy)
University of Bradford
R.A.Earnshaw@bradford.ac.uk

Cover Sheet for Proposals <i>(All sections must be completed)</i>			
Name of Capital Programme: Repositories and Preservation Programme			
Bid for Calls : (Please tick ONE BOX ONLY, as appropriate)			
Discovery to Delivery and Interoperability Demonstrators (Strand C)			
Call I – Interoperability Demonstrators	<input type="checkbox"/> a) Interoperability demonstrators		
Repository Start-Up and Enhancement (Strand D)			
Call II – Repository Start-Up and Enhancement Projects	<input checked="" type="checkbox"/> a) Repository start-up projects <input type="checkbox"/> b) Repository enhancement projects <input type="checkbox"/> c) Rapid innovation projects: enhancing repository content		
Digital Preservation Across the Lifecycle (Strand H)			
Call III – Digital Preservation Across the Lifecycle	<input type="checkbox"/> a) Digital preservation across the lifecycle		
Name of Lead Institution:		University of Bradford	
Name of Proposed Project:		University of Bradford Institutional Repository	
Name(s) of Project Partner(s): -			
Full Contact Details for Primary Contact:			
Name: Peter Ketley Position: University Librarian (Acting) Email: p.m.ketley@bradford.ac.uk Address: J B Priestley Library University of Bradford Richmond Road Bradford BD7 1DP Tel No: 01274 233366 Fax No: 01274 233398			
Project Start Date:		Project End Date:	
1 October 2007		30 September 2008	
Total Funding Requested from JISC: £30K			
Funding Broken Down over Financial Years (Mar – Apr):			
Sep07 - Mar08		Apr08 – Mar09	
£15 K		£15 K	
Total Institutional Contributions:		£30, 274	
Outline Project Description			
The University has a number of digital repositories but not an Institutional Repository that can act as a			

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showcase for the scholarly output of the university and make it available to the local, national and international community.

This project will extend the current work done at the university in establishing a repository for postgraduate dissertations using the open source D Space software, thus contributing to the network of digital repositories in the JISC community.

The scope of the project is:

- Identify and review the existing collections of materials that will feature in the IR
- Investigate the needs of academic Schools which an IR could meet and identify any cultural issues that may act as a barrier
- Establish the architecture of the repository and implement the technical solutions using DSpace.
- Establish procedures for deposit with academic Schools, to include a deposit agreement .
- Establish a modus operandi with publishers with regard to copyright issues, utilising work done elsewhere by Sherpa and Romeo
- Establish and implement procedures for harvesting material already available
- Set up a trial with a selected School
- Investigate integration with existing University activities, e.g. Portal Project, Content Management
- Produce documentation and training
- Devise and execute a project exit strategy and plan for institution-wide implementation

I have looked at the example FOI form at Appendix A and included an FOI form in the attached bid (Tick Box)		NO
I have read the Circular and associated Terms and Conditions of Grant at Appendix B (Tick Box)	YES	

Appropriateness and Fit to Programme Objectives and Overall Value to the JISC community

1. JISC defines a digital repository thus:

“A digital repository is differentiated from other digital collections by the following characteristics:

Content is deposited in a repository, whether by the content creator, owner or third party; The repository architecture manages content as well as metadata; The repository offers a minimum set of basic services, for example - put, get, search, access control; The repository must [aim to] be sustainable and trusted, well supported and well managed.

Enhancing access to scholarly communications has been a major driver for establishing, both institutional and subject based archives. Many, though by no means all repositories support ‘open access’, at least in part. Open access repositories [have] the following characteristics: the repository must provide open access to its content (unless there are legal constraints) the repository must provide open access to its metadata for harvesting.”

The University of Bradford currently has a number of digital repositories within the university but it does not have an Institutional Repository. The principal examples are E-pository, which contains some learning objects (material from the library’s Special Collections) as well as being an archive for administration, and Virtual Scholars, the Library’s repository of postgraduate dissertations which uses the open source software DSpace. There are also some electronic collections of learning materials supported within departments.

2. The aim of the project is to map current provision and to develop a transition from this to a single institutional repository. This will include a pilot involving a pilot involving one academic area. The benefit will be a shop window for the intellectual output from the university.
3. The Library has already acquired some experience in using repository software (DSpace) and is familiar with the requirements of metadata and standards. To our knowledge we believe that Bradford is one of the few universities in the UK hosting postgraduate dissertations, submitted in partial fulfilment of a higher degree, as opposed to Masters and Doctoral theses: this is a development we would wish to pursue.
4. Developing Virtual Scholars has given us valuable but limited experience in working with academic departments to secure material. A successful bid would enable further work in this area.
5. A key outcome for the project is to make the intellectual output from Bradford available to the Bradford community. Work has already commenced in integrating Virtual Scholars into Blackboard. The IR will be cross-searchable within Metalib, the Library’s electronic resources portal that offers federated searching and also in the proposed University portal and Content Management system.
6. The Bradford Repository will support the aims of the JISC community and the international scholarly community by extending the network of existing IRs and contributing to the UK HE knowledge bank.

Quality of proposal and robustness of work plan

Project Plan-description

1. The project builds on work that the Library, in collaboration with colleagues from Management Information Systems and from IT services, have undertaken on developing a digital repository of postgraduate dissertations, Virtual Scholars. This has captured dissertations submitted in partial fulfilment of a postgraduate degree from the university since 2005. The drivers for the development of Virtual Scholars were the need to maximise the use of space in the library and the desire to make the material more readily available to the community.
2. Work already undertaken has also provided valuable experience in dealing with other parts of the university outside of Learner Support, particularly the Student Registry and with academic departments on matters such as deposit agreements, data formats etc.
3. The aim of the project is to develop Virtual Scholars to include postgraduate theses, to investigate further uses to which the repository software might be put and to develop an Institutional Repository populated with scholarly output from a pilot academic area.
4. **The institutional repository will be a showcase for the intellectual output of the University of Bradford and will include inter alia:**
 - a. M Phil and doctoral these awarded degrees by the University
 - b. Existing electronic deposits; postgraduate dissertations, examination papers and archival material from the library's special collections
 - c. Electronic copies of articles and other academic papers of university staff and researchers
 - d. A local deposit for scholarly output
5. The project supports the aims and values of the university's Corporate Strategy and its e-strategy. These are available at
<http://www.brad.ac.uk/gateway/downloads/reports/corporate-strategy-summary.pdf>
<http://www.brad.ac.uk/corporateplan/e-strategy/>
6. The project seeks to employ two .5 researchers, with the following remit:
 - a. Identify and review existing collections of materials that might feature in an institutional repository
 - b. Investigate the needs of academic schools which an institutional repository could meet
 - c. Consider how cultural barriers could be overcome
 - d. Establish the architecture of the repository and implement the technical solutions
 - e. Ensuring inter-operability with other university activities and with extra-Bradford repositories
 - f. Establish procedures for deposit including a deposit agreement and copyright arrangements
 - g. Establish and implement procedures for harvesting material already available
 - h. Set up a trial with one academic area
 - i. Devise a project exit strategy
 - j. Provide full documentation and disseminate the results of the project.
7. Because of the wide range of skill set required it is felt desirable to employ two .5 project officers, one to have technical skills, the other to be a technology evangelist.

Timetable

8. It is proposed that the project will run for 12 months, commencing October 2007 and concluding September 2008.

Deliverables

9. By the end of the Project, the University should have a demonstrably working system, with scholarly content lodged in the repository and accessible by the internet to the scholarly community. The repository will be based on DSpace software and Sun technology. There will be no authentication issues, as the documents contained in the Repository will be freely available. Staff of the University will be aware of the procedure for lodging documents and will have knowledge of how to integrate materials in DSpace into teaching materials held on other University systems. In order for the system to be seen as demonstrable, it needs to have been live and available for at least three months prior to the end of the Project.
10. The repository needs to be able to interact with other University systems. Examples of such are Blackboard, Metalib, Library web catalogue, proposed University Portal, and Content Management System. The interaction can be at several levels, examples being deep linking into Blackboard and cross-searching via Metalib. The repository also needs to be able to generate RSS feeds by subject area, which can be referenced by the proposed University Portal and Blackboard, for example. As there will be no authentication for the system then integration into existing University authentication systems need not be addressed. The Project Team will be involved in discussions when new systems are being considered or likely to be purchased that the IR can be integrated into.
11. For external systems, integration with the Ethos system at the British Library and the IESR at Mimas will be realised and also the possibility of data harvesting to nominated systems will be investigated. The Project will be registered with the Directory of Open Access Repositories (DOAR) at the Universities of Nottingham and LUND and with the Register of Open Access Repositories (ROAR) at the University of Southampton. Security of data against unauthorised harvesting will also be included in the Project.
12. The Project will devise a method for depositing scholarly output on the Repository. This will be done in conjunction with the Project Supplier and Senior Supplier. Training will be provided to Library staff on how to deposit and maintain materials in the Repository. The Project team will investigate augmentation of records (where permitted) with Dublin Core data.
13. The Project team will work with one of the University departments to encourage use of the IR and address any cultural issues that may arise. Issues such as intellectual property, copyright etc will be explained to the Department, as well as the benefits of the Repository in a series of presentations and meetings with relevant stakeholders.
14. The integration of existing departmental databases in Departments into the IR will be offered.
15. An exit strategy for the Project will be devised by the Project Team. The Exit Strategy will ensure that the Repository goes across the institution after the project has finished. As part of the Exit Strategy, training will be given to nominated staff on how to run the DSpace software and server, how to troubleshoot lodging of documents, etc. The website of the Project will be integrated into existing LSS web pages and maintained by LSS staff after the Project has finished.
16. The Project will have a website that will be created and maintained by the Project team. The website will be both an information and publicity tool and will contain information about the Project, Project team members and contact details, documentation, details of training sessions, and advice for users of the Repository.

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17. Documentation will be produced by the Project team and will be available in formats that are accessible to all. Examples of documentation will be how to deposit items, what fields are required, how to add extra subject terms. Documentation will be maintained on the Project website and will be linked to by other University systems ie. Blackboard. Once the project has finished, documentation will be maintained by LSS staff.
18. The Project team will be responsible for training both users of the system and also support staff. Training will be available in a variety of formats, for example presentations both to meetings/seminars/workshops and also webcasts and online presentations.

Project Management

19. The project will be managed according to the Bradford Method – a derivative of Prince Project Management methodology. The project team is detailed later in the proposal.

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Risks

	20. What Could Possibly Happen ?	21. What is the Likelihood of it	22. How will it affect the Project?	23. What can be done about it?
A	The DSpace software becomes a costed option ie. no longer Open Source.	Unlikely at present time, so minimal risk.	If software becomes a costed option, then the budget would need to re-assessed accordingly or other freely available software would need to be investigated.	Apply for extra funding from the University/JISC or investigate other freely available Open Source software.
B	The DSpace software is unreliable and not usable for the Project.	Minimal risk.	Other software would need to be investigated.	Investigate other freely available Open Source software.
C	The server for the DSpace software breaks down.	Minimal risk. If the server breaks down it will be covered by a maintenance contract and will be repaired accordingly.	If the server breaks down there will be a break in service for a time.	Repair server under Maintenance contract or replace server if it continues faulty. Extra funding may need to be applied for.
D	A member or members of the Project Team leave the University whilst the Project is in progress.	Possible.	Work on the Project could be delayed.	Replace the Project Team member as soon as possible and in the interim try to cover as much of the work as possible by other team members.
E	A member or members of the Project Team become are absent for a period of time whilst the Project is in progress.	Possible.	Work on the Project could be delayed.	Adapt to the situation as necessary
F	Departments are unwilling to take part in the Project or withdraw during the Project.	Medium risk. The Project Team will be responsible for persuading Departments that depositing items into the Repository is worth their time.	The Department(s) concerned would need to be left out of the Project.	Another Department will need to be approached who would be willing to take part in the Project.
G	Legal issues about IPR make the Project undoable for deposit of items of work by academic staff.	Minimal risk.	Work on the Project could be delayed.	Try and resolve any legal issues.
H	Copyright permission for the handling and storage of electronic documents change.	Minimal risk.	May affect the volume of scholarly output	Try and resolve any copyright issues.

Intellectual Property Rights

24. The University of Bradford claims the intellectual property rights on all material produced by staff and by students in the course of their engagement on university business. It is however recognised that publishers will as a matter of course require the reassignment of copyright through a copyright transfer agreement.

The project is aware of the work done by SHERPA/RoMEO in this area and will develop a workflow that will provide a framework for the acquisition of permission from publishers and for handling any conditions that the publisher may impose.

Sustainability

25. Once the IR at Bradford has been proved fit for purpose, the existing Library and IT teams will handle upgrades to the software, further design and development work as and when needed. The day to day running on the IR service will be handled by the same teams who thus far managed services like e-Pository and Virtual Scholars. The teams will also be fully involved in developing and managing the proposed University Portal and Content Management System which are to integrate with open source software DSpace.
26. Further publicity work on the IR will be needed after this project in order to ensure its optimal use as the repository for the University's scholarly output. Continuing publicity work in the form of roadshow presentations, newsletter bulletins, departmental meetings and staff training will ensure widespread use of the IR which encourages the creation of a self-sustaining user community. To achieve this goal the Library will also collaborate with national IR initiatives and projects where possible, and follow international developments in the field.

Engagement with the Community

1. In the beginning the project team will hold high visibility networking events in order to guarantee buy-in from academic members of staff (Associate Deans, researchers and teaching staff), and smaller scale meetings within academic units to disseminate information about the goals of the project and the benefits of outcomes.
2. The project team will work closely with key stakeholders throughout the project ensuring the findings of the project are disseminated to the widest audience. The aim is to share outputs, outcomes and information arising from the project with stakeholders and the wider academic community via formal reports where appropriate, face-to-face meetings and/or seminars with stakeholders, research showcases and updates in internal and external newsletters. There will be a final dissemination event held at the end of the project to inform stakeholders of the achievements of the project.
3. Overall, the project web site will be used as the primary means of disseminating information about progress of the project to each of the stakeholders listed below. The website is envisaged to remain publicly available after the JISC funding period ends.

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4. Dissemination of outputs to the wider academic community will take place via JISC mailing lists and events throughout the life cycle of the project. The IR project team will expect to liaise closely with JISC to ensure wide dissemination of outputs during and after the funding period.

Stakeholder analysis

List key stakeholders that will be interested in the project outcomes, will be affected by them, or whose support/approval is essential, both within the institution and in the community, and assess their importance.

Internal stakeholders	Stake/interest	Importance
University Librarian	Overall champion of the project; interest in having a Repository that showcases the University's scholarly footprint	High
Associate Deans, Departments and/or Programmes	Champions for the project within each department; users of IRs as depositors	High
Teaching Staff	Users of repositories as depositors; need to have confidence in depositing their own papers in IR	High
Research Staff	Users of repositories as depositors; need to have confidence in depositing their own papers in IR	High
Students	Users of IRs possibly as depositors but mainly as users	Medium
Librarians	Building IRs and using them as intermediaries; target group for consultation on user requirements	
Learning Technicians	Creators of learning objects and users	High
Technical Staff	Maintaining the system	High
External stakeholders	Stake/interest	Importance
Academic researchers in UK and abroad	Users of IRs as researchers; need to have trust in digital content in IRs as researchers; consult this target group user requirements	High
Editors, learned societies and publishers	Co-existing with IRs; wish to protect the interests of their publications; need to have confidence in clear labelling of and signposting to publisher versions	Medium
JISC Programme	Outputs from the project; support and approval	High
Other projects and initiatives in the area of IRs	Outputs from the project; liaison and coordination	Medium
JISC Community	Outputs dissemination	Medium

Budget

	Annual FTE	Years	fEC Fte	Annual Cost	fEC University inflation £
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Estates					-
Operating Costs					
Material					500
Laptop					2,000
Server					7,000
IT Facilities		1			1,560
Indirect Costs					-
Total			-		<u><u>60,274</u></u>
JISC contribution requested					30,000
Institutional contribution requested					30,274

The cost to JISC will spread over two financial year, as follows:

2007 - 08	2008 - 09
£15,000	£15,000

The Project Team

P J Dawes BA (Hons), MCLIP Polly Dawes is Systems Librarian. Polly has over 17 years experience in managing library systems, with a wealth of technical experience. Polly will be the Project Manager.

S Nieminen MA, MSc, MCLIP Satu Nieminen is Electronic Resources Librarian. She is responsible for developing Virtual Scholars and has key repository experience.

A T Costigan BSc(Hons), MSc, MCLIP Anne Costigan is a Senior Subject Librarian. Anne has many years experience as subject librarian in life sciences, with close links to the academic departments in that area.

Two .5 FTE Project Officers are to be appointed; these positions will need to be advertised

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The project team will include a senior user from the academic area selected for the pilot study. This cost will be absorbed by the institution.

The project will be sponsored by P M Ketley BA (Hons), MA. Peter Ketley is University Librarian (Resources Management) He has over 30 years experience of HE Libraries, from subject librarian to senior manager. He has a particular interest in copyright issues